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FIG. 1

3 INTERNET

ATTACK-SOURCE HOST
301

1

FIREWALL UNIT

2

DECOY UNIT

4 INTERNAL NETWORK

SERVER
401

FIG. 2

INTERNET 3

FIREWALL UNIT 1

100 — EXTERNAL COMMUNICATION INTERFACE

106 — CONTROL INTERFACE

101 — PACKET FILTER

107 — DEFENSE RULE DETERMINATION SECTION

103 — GUIDING SECTION

102 — ACCESS CONTROL LIST MANAGEMENT SECTION

104 — FIRST INTERNAL COMMUNICATION INTERFACE

105 — SECOND INTERNAL COMMUNICATION INTERFACE

INTERNAL NETWORK 4

2 DECOY UNIT

201 — PROCESSOR

202 — ATTACK DETECTING SECTION

FIG. 3

107

DEFENSE RULE DETERMINATION SECTION

ACCESS
CONTROL RULES

102

ACCESS CONTROL LIST
MANAGEMENT SECTION

1023

UPDATE PROCESSOR

ADDITION/CORRECTION
OF RULES

1021

ACCESS CONTROL
LIST DATABASE

1022

RETRIEVING SECTION

EXTRACTION OF RULES

RQ   ACCESS CONTROL RULES

101

PACKET FILTER

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FIG. 4

1021

ACCESS CONTROL LIST DATABASE		
SOURCE IP ADDRESS (SRC)	DESTINATION IP ADDRESS (DST)	PACKET FILTERING PROCESS (PROC)
*	1.2.3.1	ACCEPT
*	1.2.3.2	ACCEPT
12.34.1.1	*	ACCEPT
*	1.2.3.3	DROP
*	*	DENY

* : MATCHED WITH ARBITRARY ADDRESS
ACCEPT : ACCEPTANCE OF PACKET
DENY : DENIAL OF PACKET (WITH ICMP ERROR NOTIFICATION)
DROP : DROPPING OF PACKET (WITHOUT ICMP ERROR NOTIFICATION)

FIG. 5

GUIDING LIST

```
1. 2. 3. 1
1. 2. 3. 2
1. 2. 3. 3

1. 2. 3. 5
1. 2. 3. 6
    ⋮
```

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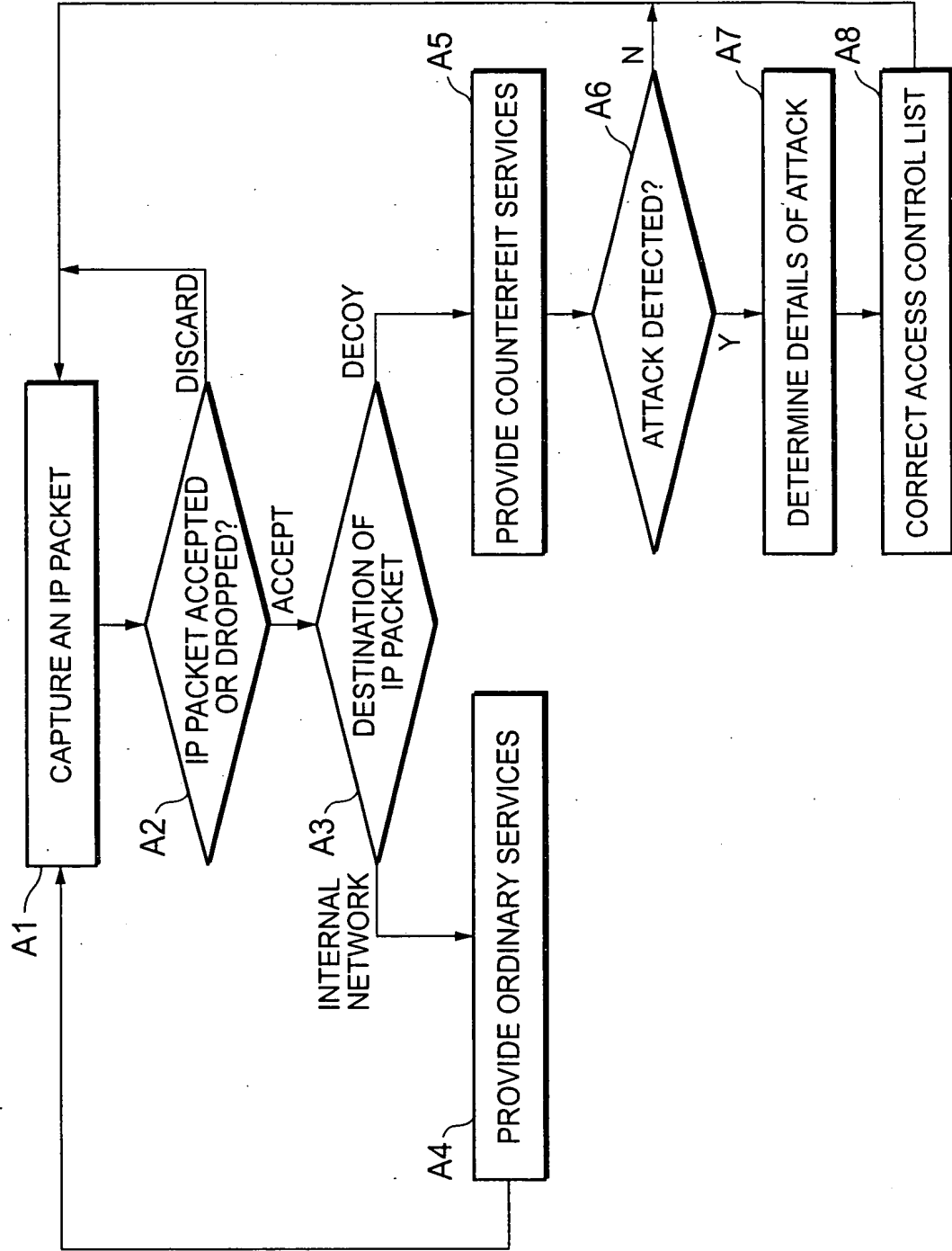REPLACEMENT SHEET

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FIG. 6

DEFENSE RULE DETERMINATION SECTION

107

ATTACK TYPE	SOURCE IP ADDRESS (SRC)	DESTINATION IP ADDRESS (DST)	PACKET FILTERING PROCESS (PROC)
RECON	—	—	—
INTRUSION	${SRC_IP_ADDRESS}	*	DROP
DESTRUCTION	${SRC_IP_ADDRESS}	*	DROP

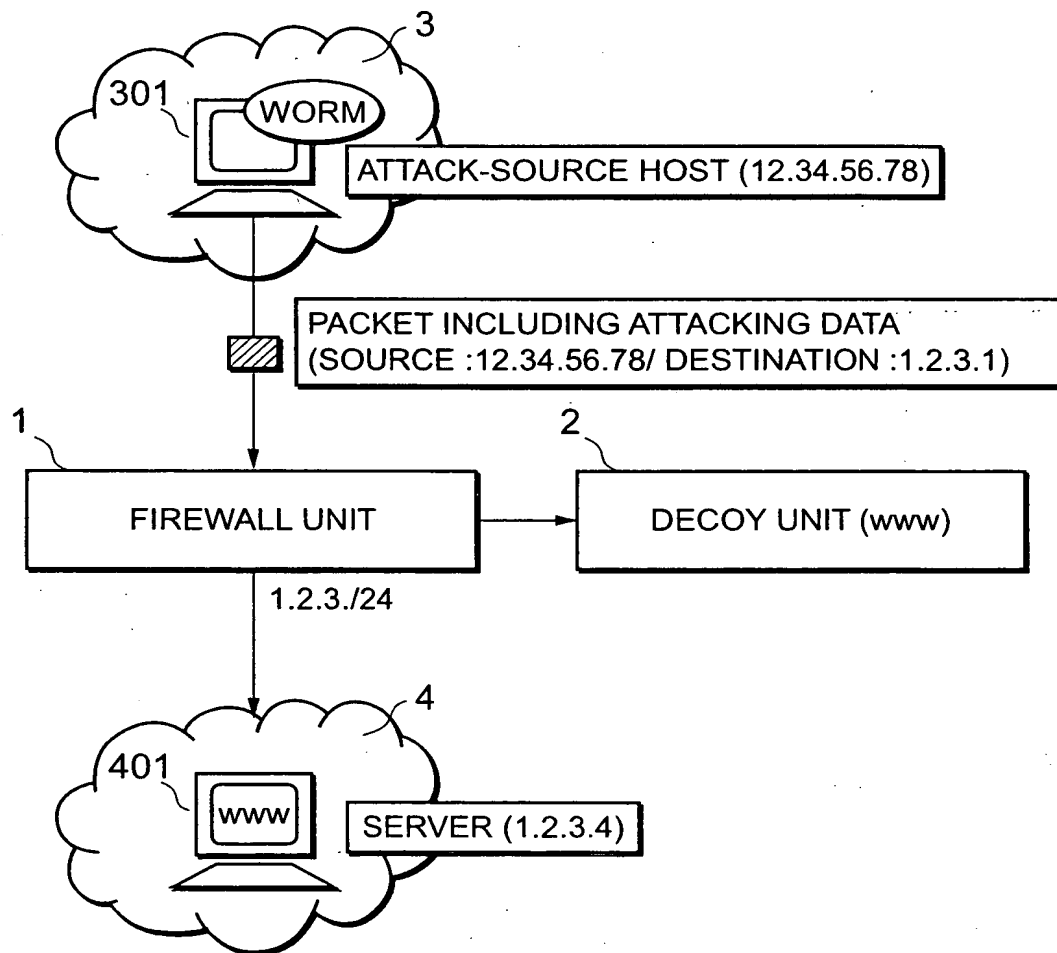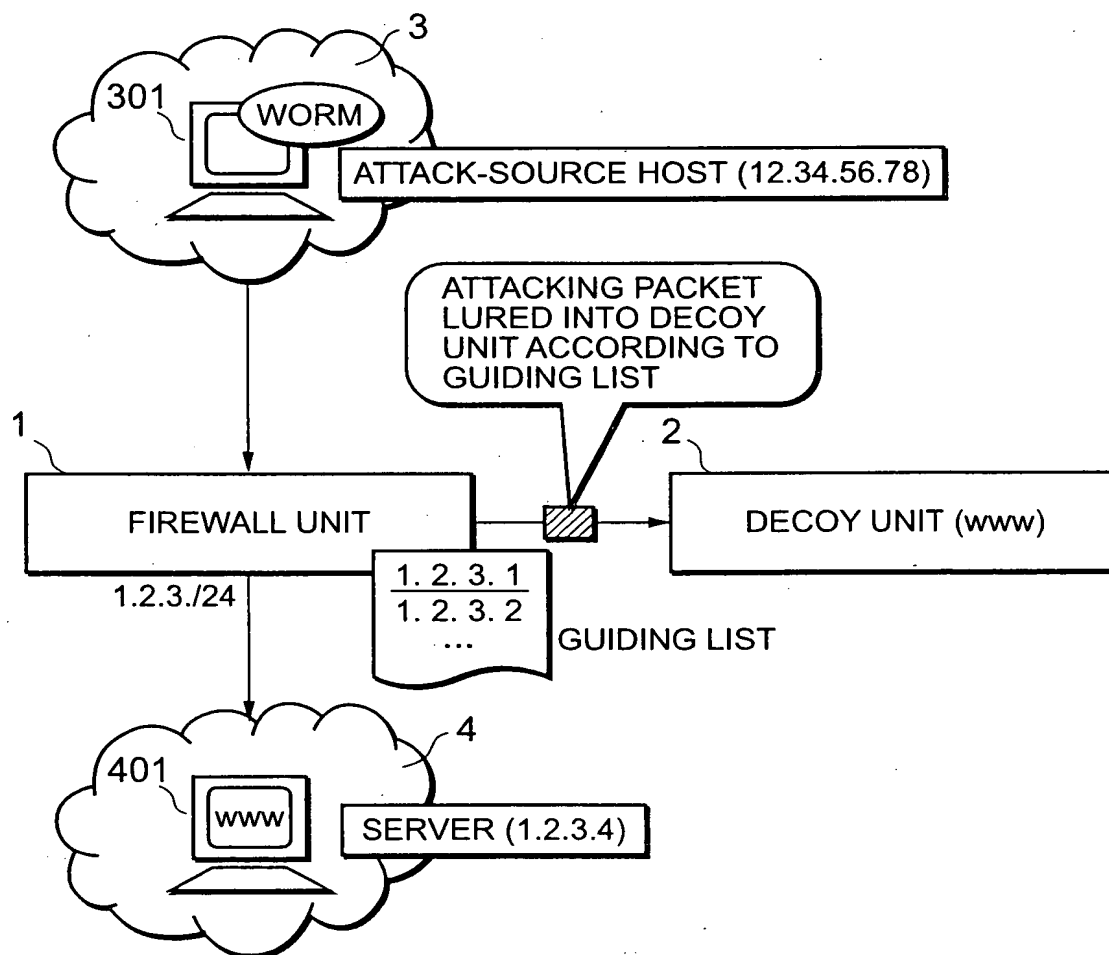-: WITHOUT ANY ADDRESS (NO PROCESSING)
${}: VARIABLE TO BE REPLACED

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FIG. 7

A1 CAPTURE AN IP PACKET

A2 IP PACKET ACCEPTED OR DROPPED?

DISCARD

ACCEPT

A3 DESTINATION OF IP PACKET

DECOY

INTERNAL NETWORK

A4 PROVIDE ORDINARY SERVICES

A5 PROVIDE COUNTERFEIT SERVICES

A6 ATTACK DETECTED?

N

Y

A7 DETERMINE DETAILS OF ATTACK

A8 CORRECT ACCESS CONTROL LIST

FIG. 8

1

FIREWALL UNIT

103

GUIDING SECTION

1031

ADDRESS CONVERTER

105 — SECOND INTERNAL COMMUNICATION INTERFACE

2 — DECOY UNIT

FIG. 9

ATTACK-SOURCE HOST (12.34.56.78)

PACKET INCLUDING ATTACKING DATA
(SOURCE :12.34.56.78/ DESTINATION :1.2.3.1)

FIREWALL UNIT

DECOY UNIT (www)

1.2.3./24

SERVER (1.2.3.4)

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FIG. 10

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FIG. 11

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FIG. 12

2

DECOY UNIT 201

PROCESSOR

PROCESS

↓

FILE SYSTEM

202

STATUS OF FILE ACCESS
(WRITING "C:¥windows¥root.exe")

ATTACK DETECTING SECTION   NORMAL OPERATION
DEFINITION

WRITE,C;¥Inetpub¥wwwroot¥_vti_log¥*; INTRUSION
...
READ, C:¥Inetpub¥wwwroot¥*; RECON
...

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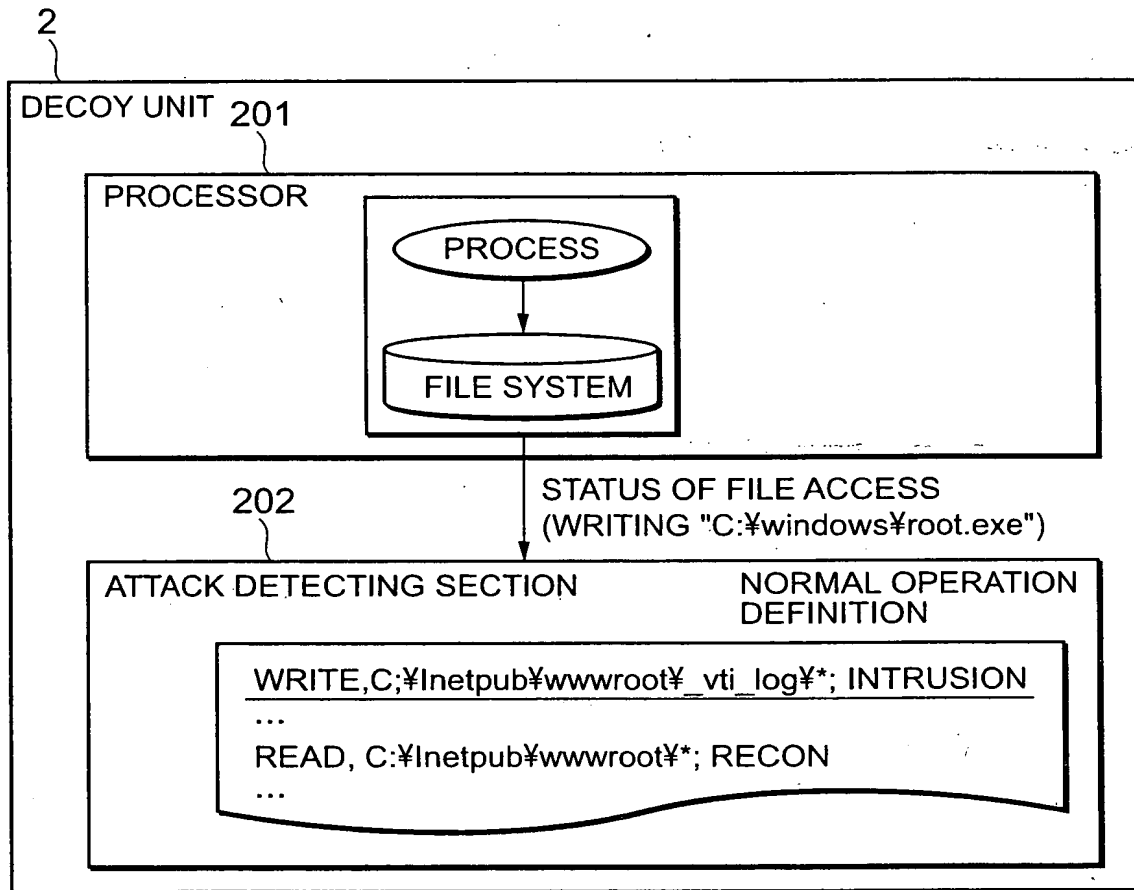Reply to Notice to File Missing Parts of: April 22, 2004
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FIG. 13

UPDATE OF ACCESS CONTROL LIST

SOURCE IP ADDRESS (SRC)	DESTINATION IP ADDRESS (DST)	PACKET FILTERING PROCESS (PROC)
12.34.56.78	*	DROP
*	1.2.3.1	ACCEPT
*	1.2.3.2	ACCEPT
12.34.1.1	*	ACCEPT
*	1.2.3.3	DROP
*	*	DENY

ADDITION

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FIG. 14

FIG. 15

FIG. 16

FIG. 17

CONFIDENCE
LEVEL c

GUIDING TO
INTERNAL NETWORK

THRESHOLD
VALUE T

LURING INTO
DECOY UNIT

INITIAL
VALUE c0

0

NUMBER OF ACCESSES

FIG. 18A

502

MULTI-DIMENSIONAL
VECTOR RELATED TO ⟶ CONFIDENCE MANAGEMENT
INPUT IP PACKET   SECTION

CONFIDENCE LEVEL ⟵   OUTLIER DEGREE
                    5021   CALCULATOR

FIG. 18B

5021.1

MULTI-DIMENSIONAL   PROBABILITY
VECTOR RELATED TO ⟶   DENSITY ESTIMATOR
INPUT IP PACKET   (NORMAL MIXED
                              DISTRIBUTION)

                                              5021.2

                              SCORE
                              CALCULATOR

                                              5021.3

                              CONFIDENCE
                              GENERATOR

CONFIDENCE LEVEL ⟵

FIG. 19

FIG. 20

FIG. 21

3

302

NORMAL HOST

LURING INTO DECOY UNIT BECAUSE
AN INITIALLY ACCESSING PACKET IS
DETERMINED TO BE "SUSPICIOUS"

5

2

FIREWALL UNIT

DECOY UNIT (www)

GUIDING TO NORMAL SERVER IF
NORMAL ACCESSES ARE
CONSECUTIVELY REPEATED
TO BECOME TRUSTWORTHY

4

401

www

SERVER (1.2.3.4)

FIG. 22

6

FIREWALL UNIT

103 — GUIDING SECTION

502

501 — GUIDING SECTION | CONFIDENCE MANAGEMENT SECTION

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FIG. 23

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FIG. 24

100

7

EXTERNAL COMMUNICATION INTERFACE

106

CONTROL INTERFACE

107

DEFENSE RULE DETERMINATION SECTION

101

PACKET FILTER

102

ACCESS CONTROL LIST MANAGEMENT SECTION

CONFIDENCE MANAGEMENT SECTION

701

7011

REAL-TIME CONFIDENCE DB

7013

LONG-TERM CONFIDENCE DB

501

GUIDING SECTION

7012

COPY PROCESSOR

7014

UPDATE PROCESSOR

104

FIRST INTERNAL COMMUNICATION INTERFACE

SECOND INTERNAL COMMUNICATION INTERFACE

105

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FIG. 25

REFERENCE START

D1 — RELEVANT ENTRY REGISTERED IN REAL-TIME CONFIDENCE DB?

D3 — RELEVANT ENTRY REGISTERED IN LONG-TERM CONFIDENCE DB?

D5 — REGISTER A NEW ENTRY WITH INITIALIZED CONFIDENCE LEVEL IN REAL-TIME CONFIDENCE DB

D4 — COPY THE REGISTERED ENTRY TO REAL-TIME CONFIDENCE DB

D2 — OUTPUT CONFIDENCE LEVEL

REFERENCE END

FIG. 26

9

FIREWALL UNIT

101

PACKET FILTER

901

GUIDING SECTION

9012

ICMP MONITOR

RETRANSMISSION INSTRUCTION

9011

PACKET STORING

BUFFER

ICMP (TYPE 3)

PACKET TRANSMISSION

STORED PACKET RETRANSMISSION

FIRST INTERNAL COMMUNICATION INTERFACE

SECOND INTERNAL COMMUNICATION INTERFACE

104

105

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FIG. 27

A1 — CAPTURE AN IP PACKET

A2 — IP PACKET ACCEPTED OR DROPPED?

DISCARD

ACCEPT

E1 — STORE IP ADDRESS IN BUFFER

E2 — TRANSFER IP PACKET TO INTERNAL NETWORK

E3 — ICMP TYPE-3 PACKET RECEIVED?

N

Y

E4 — DETERMINE IP PACKET TO BE RETRANSMITTED

E5 — RETRANSMIT IP PACKET STORED IN BUFFER

STEPS A5-A8

A4 — PROVIDE ORDINARY SERVICES

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FIG. 28

FIG. 29

A1
RECEIVE AN IP PACKET

A2_1
INPUT SOURCE IP ADDRESS
OF RECEIVED IP PACKET
FROM PACKET FILTER 101

RETRIEVE ACCESS
CONTROL RULE — A2_2

N — MATCHING
RULE FOUND? A2_3

Y

A2_4
CURRENT TIME
> EXPIRE? N

Y

A2_5
DELETE RELEVANT ACCESS
CONTROL RULE FROM
ACCESS CONTROL LIST

A2_7
RETURN ACCESS CONTROL
RULE EXCEPT FOR EXPIRE
FIELD TO PACKET FILTER 101

A2_6
RETURN DEFAULT ACCESS
CONTROL RULE TO
PACKET FILTER 101

A2
DETERMINE ACCEPTANCE/
DROPPING OF IP PACKET

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FIG. 30

21

DECOY CLUSTER

2

FIREWALL UNIT → DECOY UNIT A

DECOY UNIT B

DECOY UNIT C

⋮

FIG. 31

FIG. 32

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FIG. 33

FIG. 34

F1 — EVENT OCCURS

F2 — DETERMINE THE TYPE OF EVENT

F3 — STORE INTO EVENT MANAGEMENT QUEUE

F4 — LINKING TO RELATED EVENTS

F5 — COMPARE WITH DT DEFINITION

F6 — MATCHING RULE FOUND? — N

Y

F7 — ATTACK DETECTED? — N

Y

F8 — TRANSMIT ALARM

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FIG. 35

3704 EVENT TYPE TABLE

EVENT NAME	EVENT TYPE
PROC_EXEC	PROCESS
PROC_FORK	PROCESS
NW_ACCEPT	NETWORK
FILE_OPEN	FILE

FIG. 36

3701 EVENT MANAGEMENT SECTION

"NETWORK" EVENT MANAGEMENT QUEUE

"PROCESS" EVENT MANAGEMENT QUEUE

"FILE" EVENT MANAGEMENT QUEUE

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FIG. 37

H1 — EXTRACT PROCESS ID OF SOURCE PROCESS (PID) DESCRIBED IN THE CURRENT EVENT

H2 — REFERRING TO THE LAST EVENT IN PROCESS EVENT MANAGEMENT QUEUE

H3 — PROCESS GENERATION EVENT?

Y

N

H4 — REFERRING TO THE IMMEDIATELY PRECEDING EVENT

H5 — DOES PROCESS ID OF A CURRENTLY REFERRED-TO EVENT MATCH PID?

N

Y

H6 — ESTABLISH A FORWARD LINK FROM THE CURRENTLY REFERRED-TO EVENT TO THE CURRENT EVENT

H7 — ESTABLISH A BACKWARD LINK FROM THE CURRENT EVENT TO THE CURRENTLY REFERRED-TO EVENT

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FIG. 38

EVENT-CONTEXT COMBINATION = (E, B ∪ F)

BACKWARD
LINK SET B

EVENT E

FORWARD
LINK SET F

FIG. 39

4101 DT DEFINITION FILE

```
#(RULE 1)  ALLOW WWW SERVER TO WRITE LOG.
0.0.0.0/0,<Inetinfo.exe>,FILE_WRITE,C:¥winnt¥system32¥LogFiles¥.*;ALLOW
#(RULE 2) ALLOW WWW SERVER TO READ CONTENT REGION
0.0.0.0/0,<Inetinfo.exe>,FILE_READ,C:¥Inetpub¥wwwroot¥,*;ALLOW

#(RULE 3) ALLOW REGISTERED CGI THAT IS A SUBSYSTEM
OF WWW SERVER TO UPDATE DATABASE.
0.0.0.0/0,<Inetinfo.exe><regist.exe> $ ,FILE_WRITE,C:¥data¥client.db;ALLOW
#(RULE 4) ALLOW OUTPUT CGI THAT IS A SUBSYSTEM
OF WWW SERVER TO READ DATABASE.
0.0.0.0/0,<Inetinfo.exe><view.exe> $ ,FILE_READ,C:¥data¥client.db;ALLOW

#(RULE 5) ALLOW FTP SERVER TO WRITE ONTO CONTENT REGION
# BUT ONLY FROM MANAGEMENT DOMAIN 10.56.192.0/24.
10.56.192.0/24.^<ftpd.exe>+ $ ,FILE_WRITE,C:¥Inetpub¥wwwroot¥.*;ALLOW

#(RULE 6) WWW SERVER DOES NOT WRITE TO FILE UNLESS
SPECIFICALLY ALLOWED
0.0.0.0/0,<inetinfo.exe>.FILE_WRITE,.*;DENY
#(RULE 7) INHIBIT ACCESS TO DATABASE REGION FROM
OTHER THAN ALLOWED PROGRAMS
0.0.0.0/0,.*,.*,FILE_READ|FILE_WRITE,C:¥data¥.*;DENY
#(RULE 8) REWRITING OF CONTENT REGION BY OTHER THAN
ALLOWED PROGRAMS IS AN ATTACK
0.0.0.0/0,.*,.*,FILE_WRITE,C:¥Inetpub¥wwwroot¥.*;DENY

#(DEFAULT RULE) IF NO MATCH IS FOUND FOR ANY RULE,
THEN "ALLOWANCE"
DEFAULT;ALLOW
```

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FIG. 40

INITIAL PROCESS (INIT ETC.)

ACCESS

ACCESS SOURCE HOST
(IP ADDRESS: 133.203.1.128)

DOMAIN CONSTRAINT

PROCESS OF SERVER PROGRAM

DIRECT PARENT-CHILD RELATIONSHIP

ANCESTOR-DESCENDANT RELATIONSHIP (ZERO OR MORE PROCESSES EXIST THEREBETWEEN)

PROCESS OF "PROGRAM T1"

PROCESS OF "PROGRAM T2"

TYPE CONSTRAINT

PROCESS OF EVENT GENERATING SOURCE

FIG. 41

3501

EVENT NAME : NW_ACCEPT

PARAMETER : ("src_addr=133.207.57.2","src_port=13485")

RETURNED VALUE : "fd=15"

SOURCE PROCESS ID : 709

ADDITION

NETWORK EVENT MANAGEMENT QUEUE

PROCESS EVENT MANAGEMENT QUEUE

FILE EVENT MANAGEMENT QUEUE

FIG. 42

3501

NETWORK EVENT MANAGEMENT QUEUE

RETRIEVAL OF
PROCESS ID "709"

PROCESS EVENT MANAGEMENT QUEUE

FILE EVENT MANAGEMENT QUEUE

3601

EVENT NAME : PROC_EXEC

PARAMETER : ("C:¥Program Files¥web¥inetinfo.exe")

RETURNED VALUE : "pid=709"

SOURCE PROCESS ID : 15

FIG. 43

3501

NETWORK EVENT MANAGEMENT QUEUE

FORWARD LINK
3601

BACKWARD
LINK

PROCESS EVENT MANAGEMENT QUEUE

FILE EVENT MANAGEMENT QUEUE

FIG. 44

3801

EVENT NAME : PROC_FORK
PARAMETER : NONE
RETURNED VALUE : "pid=800"
SOURCE PROCESS ID : 709

ADDITION

3501

NETWORK EVENT
MANAGEMENT QUEUE

3601

PROCESS EVENT
MANAGEMENT QUEUE

FILE EVENT
MANAGEMENT QUEUE

LINKING

FIG. 45

3901

EVENT NAME : FILE_READ
PARAMETER : ("C:¥Inetpub¥wwwroot¥default.htm")
RETURNED VALUE : "1"
SOURCE PROCESS ID : 800

ADDITION

3501

NETWORK EVENT
MANAGEMENT QUEUE

3601   3801

PROCESS EVENT
MANAGEMENT QUEUE

LINKING

FILE EVENT
MANAGEMENT QUEUE

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FIG. 46

4001

```
EVENT NAME : PROC_EXEC
PARAMETER : ("C:¥Inetpub¥scripts¥regist.exe")
RETURNED VALUE : "pid=801"
SOURCE PROCESS ID : 800
```

ADDITION

3501

NETWORK EVENT
MANAGEMENT QUEUE

3601   3801

PROCESS EVENT
MANAGEMENT QUEUE

FILE EVENT
MANAGEMENT QUEUE   LINKING

FIG. 47

4101

```
EVENT NAME : FILE_WRITE
PARAMETER : ("C:¥data¥client.db","abc")
RETURNED VALUE : "1"
SOURCE PROCESS ID : 801
```

3501   ADDITION

NETWORK EVENT
MANAGEMENT QUEUE

3601   3801

PROCESS EVENT
MANAGEMENT QUEUE   4001

LINKING

FILE EVENT
MANAGEMENT QUEUE

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FIG. 48

4901

```
EVENT NAME : FILE_WRITE
PARAMETER : ("C:¥Inetpub¥wwwroot¥default.htm","abc")
RETURNED VALUE : "1"
SOURCE PROCESS ID : 801
```

ADDITION

3501

NETWORK EVENT
MANAGEMENT QUEUE

3601

PROCESS EVENT
MANAGEMENT QUEUE

3801

4001

LINKING

FILE EVENT
MANAGEMENT QUEUE

FIG. 49

5001

```
EVENT NAME : FILE_READ
PARAMETER : ("C:¥data¥client.db","nakae¥nyamagata¥n")
RETURNED VALUE : "1"
SOURCE PROCESS ID : 800
```

ADDITION

3501

NETWORK EVENT
MANAGEMENT QUEUE

3601

PROCESS EVENT
MANAGEMENT QUEUE

3801

LINKING

FILE EVENT
MANAGEMENT QUEUE

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FIG. 50

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FIG. 51

101 PACKET FILTER

5101 VIRTUAL SERVER SECTION

5102 CONFIDENCE MANAGEMENT SECTION

5201 CONNECTION MANAGEMENT SECTION

5202 1ST INPUT BUFFER

5203 1ST OUTPUT BUFFER

5204 2ND INPUT BUFFER

5205 2ND OUTPUT BUFFER

INTERNAL NETWORK 4

DECOY UNIT 2

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FIG. 52

G1 — PROVISIONALLY CONNECT TO ACCESS SOURCE HOST

G2 — RECEIVE REQUEST DATA

G3 — STORE REQUEST DATA INTO 1ST AND 2ND INPUT BUFFERS

G4 — OBTAIN CONFIDENCE LEVEL OF REQUEST DATA

G5 — $c \geqq T$?

N → G6-2 — INSTRUCT ONLY 2ND INPUT BUFFERS TO TRANSFER REQUEST DATA

G7-2 — ATTACK DETECTED?

Y → FORCED BLOCKAGE — G8-3

N → G8-2 — INSTRUCT 1ST INPUT BUFFER TO TRANSFER REQUEST DATA

Y → G6-1 — INSTRUCT 1ST AND 2ND INPUT BUFFERS TO TRANSFER REQUEST DATA

G7-1 — RESPONSE DATA EXISTS 1ST OUTPUT BUFFER?

N

Y → G8-1 — TRANSFER RESPONSE DATA IN 1ST OUTPUT BUFFER TO ACCESS SOURCE HOST

FIG. 53

REQUEST DATA	CONFIDENCE LEVEL
D0	1
D1	0
. . .	. . .
Dn	1

FIG. 54

FIG. 55

REQUEST DATA	CONFIDENCE LEVEL
D0	1
D1	0
. . .	. . .
1	0

FIG. 56

FTP SERVER   DECOY SERVER

r1   r1

r2   r2

r3-1   SUSPICIOUS INPUT IP PACKET
↓
CHECK NORMAL OPERATION

r3-1

RETRANSMISSION FOR SYNCHRONIZATION

FIG. 57

FTP SERVER   DECOY SERVER

| r1 | | r1 |

| r2 | | r2 |

                    | r3-2 | SUSPICIOUS
                                    INPUT IP PACKET
                                    ↓
                                    ATTACK DETECTION

              | X |
FORCED
DISCONNECTION

FIG. 58

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FIG. 59

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FIG. 60

FIG. 61

INTERNET 3

80 FIREWALL UNIT

100

502

8001

CONFIDENCE
MANAGEMENT
SECTION

GUIDING
SECTION

SERVER
MANAGEMENT SECTION

REFERENCE
TABLE

8002

8003

21

DECOY CLUSTER

401

2(1)

2(k)

SERVER
($\tau \geqq N$)

DECOY UNIT
($\tau \geqq M1$)

...

DECOY UNIT
($\tau \geqq Mk$)

FIG. 62

8003 REFERENCE TABLE

SERVER IDENTIFIER	REQUISITE CONFIDENCE LEVEL
D1	M1
D2	M2
. . .	. . .
Dk	Mk

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FIG. 63

I1 ── CALCULATE CONFIDENCE LEVEL τ (p) OF INPUT PACKET p

I2 ── RETRIEVE DECOY UNIT HAVING A REQUISITE CONFIDENCE LEVEL OF τ (p) OR LESS

I3 ── AT LEAST ONE HIT FOUND?

N → I4 ── TREAT NORMAL SERVER AS PROVISIONAL DECOY UNIT

Y → I5 ── RETURN A CORRESPONDING IDENTIFIER TO GUIDING SECTION

I6 ── TRANSFER PACKET P TO DECOY UNIT IDENTIFIED BY OBTAINED IDENTIFIER

I7 ── CHECK SERVER OPERATION FOR PACKET p

I8 ── TRANSFER A RESPONSE RECEIVED FROM SERVER, TO A TRANSMISSION SOURCE OF PACKET p

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FIG. 64

FIG. 65

J1 — INTERPRET SYNTAX OF A RECEIVED ALERT

↓

J2 — EXTRACT ATTACK-SOURCE IP ADDRESS AND ATTACK-DESTINATION IP ADDRESS FROM THE ALERT

↓

J3 — CALCULATE THE DEGREE OF SERIOUSNESS OF THE ALERT

↓

J4 — CREATE A TRANSFORMED ALERT

↓

J5 — UPDATE CONFIDENCE LEVEL BASED ON THE TRANSFORMED ALERT

FIG. 66

FIREWALL UNIT
85 — 100

8501 — GUIDING SECTION

8502 — MANAGEMENT SERVER CONNECTING SECTION

401 — SERVER

2 — DECOY UNIT

86 — CONFIDENCE MANAGEMENT SERVER

FIG. 67

CONFIDENCE MANAGEMENT SERVER 86

K3: EXTRACT p FROM CONFIDENCE REQUEST MESSAGE

K4: CALCULATE CONFIDENCE LEVEL $\tau(p)$ FOR p

K5: TRANSMIT RESPONSE MESSAGE INCLUDING $\tau(p)$

FIREWALL UNIT 85

K1: RECEIVE INPUT PACKET p

K2: TRANSMIT A CONFIDENCE REQUEST MESSAGE RELATING TO p TO CONFIDENCE MANAGEMENT SERVER

K6: EXTRACT $\tau(p)$ FROM RESPONSE MESSAGE

K7: DETERMINE A FORWARD DESTINATION BASED ON $\tau(p)$ AND TRANSFER p THERETO